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JC873 U.S. PTO  
09/637508  
08/11/00



Practitioner's Docket No. 915-374

**PATENT**

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Box Patent Application  
Assistant Commissioner for Patents  
Washington, D.C. 20231

**NEW APPLICATION TRANSMITTAL**

Transmitted herewith for filing is the patent application of

Inventor(s): Markku VEHVILAINEN

**WARNING:** 37 C.F.R. § 1.41(a)(1) points out:

"(a) A patent is applied for in the name or names of the actual inventor or inventors.

"(1) The inventorship of a nonprovisional application is that inventorship set forth in the oath or declaration as prescribed by § 1.63, except as provided for in § 1.53(d)(4) and § 1.63(d). If an oath or declaration as prescribed by § 1.63 is not filed during the pendency of a nonprovisional application, the inventorship is that inventorship set forth in the application papers filed pursuant to § 1.53(b), unless a petition under this paragraph accompanied by the fee set forth in § 1.17(i) is filed supplying or changing the name or names of the inventor or inventors."

For (title): Method and Arrangement for Reducing the Volume or Rate of an Encoded Digital Video Bitstream

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**CERTIFICATION UNDER 37 C.F.R. 1.10\***

*(Express Mail label number is mandatory.)*

*(Express Mail certification is optional.)*

I hereby certify that this New Application Transmittal and the documents referred to as attached therein are being deposited with the United States Postal Service on this date August 11, 2000, in an envelope as "Express Mail Post Office to Addressee," mailing Label Number EL 091990404 US, addressed to the: Assistant Commissioner for Patents, Washington, D.C. 20231.

Judith Schick

*(type or print name of person mailing paper)*

*Signature of person mailing paper*

**WARNING:** Certificate of mailing (first class) or facsimile transmission procedures of 37 C.F.R. 1.8 cannot be used to obtain a date of mailing or transmission for this correspondence.

**\*WARNING:** Each paper or fee filed by "Express Mail" **must** have the number of the "Express Mail" mailing label placed thereon prior to mailing. 37 C.F.R. 1.10(b).

"Since the filing of correspondence under § 1.10 without the Express Mail mailing label thereon is an oversight that can be avoided by the exercise of reasonable care, requests for waiver of this requirement will **not** be granted on petition." Notice of Oct. 24, 1996, 60 Fed. Reg. 56,439, at 56,442.

## 1. Type of Application

This new application is for a(n)

(check one applicable item below)

Original (nonprovisional)  
 Design  
 Plant

**WARNING:** *Do not use this transmittal for a completion in the U.S. of an International Application under 35 U.S.C. 371(c)(4), unless the International Application is being filed as a divisional, continuation or continuation-in-part application.*

**WARNING:** *Do not use this transmittal for the filing of a provisional application.*

**NOTE:** *If one of the following 3 items apply, then complete and attach ADDED PAGES FOR NEW APPLICATION TRANSMITTAL WHERE BENEFIT OF A PRIOR U.S. APPLICATION CLAIMED and a NOTIFICATION IN PARENT APPLICATION OF THE FILING OF THIS CONTINUATION APPLICATION.*

Divisional.  
 Continuation.  
 Continuation-in-part (C-I-P).

## 2. Benefit of Prior U.S. Application(s) (35 U.S.C. 119(e), 120, or 121)

**NOTE:** *A nonprovisional application may claim an invention disclosed in one or more prior filed copending nonprovisional applications or copending international applications designating the United States of America. In order for a nonprovisional application to claim the benefit of a prior filed copending nonprovisional application or copending international application designating the United States of America, each prior application must name as an inventor at least one inventor named in the later filed nonprovisional application and disclose the named inventor's invention claimed in at least one claim of the later filed nonprovisional application in the manner provided by the first paragraph of 35 U.S.C. 112. Each prior application must also be:*

*(i) An international application entitled to a filing date in accordance with PCT Article 11 and designating the United States of America; or*  
*(ii) Complete as set forth in § 1.51(b); or*  
*(iii) Entitled to a filing date as set forth in § 1.53(b) or § 1.53(d) and include the basic filing fee set forth in § 1.16; or*  
*(iv) Entitled to a filing date as set forth in § 1.53(b) and have paid therein the processing and retention fee set forth in § 1.21(l) within the time period set forth in § 1.53(f).*

*37 C.F.R. § 1.78(a)(1).*

**NOTE:** *If the new application being transmitted is a divisional, continuation or a continuation-in-part of a parent case, or where the parent case is an International Application which designated the U.S., or benefit of a prior provisional application is claimed, then check the following item and complete and attach ADDED PAGES FOR NEW APPLICATION TRANSMITTAL WHERE BENEFIT OF PRIOR U.S. APPLICATION(S) CLAIMED.*

**WARNING:** *If an application claims the benefit of the filing date of an earlier filed application under 35 U.S.C. 120, 121 or 365(c), the 20-year term of that application will be based upon the filing date of the earliest U.S. application that the application makes reference to under 35 U.S.C. 120, 121 or 365(c). (35 U.S.C. 154(a)(2) does not take into account, for the determination of the patent term, any application on which priority is claimed under 35 U.S.C. 119, 365(a) or 365(b).) For a c-i-p application, applicant should review whether any claim in the patent that will issue is supported by an earlier application and, if not, the applicant should consider canceling the reference to the earlier filed application. The term of a patent is not based on a claim-by-claim approach. See Notice of April 14, 1995, 60 Fed. Reg. 20,195, at 20,205.*

**WARNING:** When the last day of pendency of a provisional application falls on a Saturday, Sunday, or Federal holiday within the District of Columbia, any nonprovisional application claiming benefit of the provisional application **must** be filed prior to the Saturday, Sunday, or Federal holiday within the District of Columbia. See 37 C.F.R. § 1.78(a)(3).

The new application being transmitted claims the benefit of prior U.S. application(s). Enclosed are ADDED PAGES FOR NEW APPLICATION TRANSMITTAL WHERE BENEFIT OF PRIOR U.S. APPLICATION(S) CLAIMED.

### 3. Papers Enclosed

A. Required for filing date under 37 C.F.R. § 1.53(b) (Regular) or 37 C.F.R. § 1.153 (Design) Application

16 Pages of specification

4 Pages of claims

12 Sheets of drawing

**WARNING:** DO NOT submit original drawings. A high quality copy of the drawings should be supplied when filing a patent application. The drawings that are submitted to the Office must be on strong, white, smooth, and non-shiny paper and meet the standards according to § 1.84. If corrections to the drawings are necessary, they should be made to the original drawing and a high-quality copy of the corrected original drawing then submitted to the Office. Only one copy is required or desired. For comments on proposed then-new 37 CFR 1.84, see Notice of March 9, 1988 (1990 O.G. 57-62).

NOTE: "Identifying indicia, if provided, should include the application number or the title of the invention, inventor's name, docket number (if any), and the name and telephone number of a person to call if the Office is unable to match the drawings to the proper application. This information should be placed on the back of each sheet of drawing a minimum distance of 1.5 cm. (5/8 inch) down from the top of the page . . ." 37 C.F.R. 1.84(c)).

(complete the following, if applicable)

The enclosed drawing(s) are photograph(s), and there is also attached a "PETITION TO ACCEPT PHOTOGRAPH(S) AS DRAWING(S)." 37 C.F.R. 1.84(b).

formal

informal

### B. Other Papers Enclosed

       Pages of declaration and power of attorney

1 Pages of abstract

       Other

### 4. Additional papers enclosed

Amendment to claims

Cancel in this applications claims \_\_\_\_\_ before calculating the filing fee. (At least one original independent claim must be retained for filing purposes.)

Add the claims shown on the attached amendment. (Claims added have been numbered consecutively following the highest numbered original claims.)

Preliminary Amendment

Information Disclosure Statement (37 C.F.R. 1.98)

Form PTO-1449 (PTO/SB/08A and 08B)

Citations

Declaration of Biological Deposit

Submission of "Sequence Listing," computer readable copy and/or amendment pertaining thereto for biotechnology invention containing nucleotide and/or amino acid sequence.

Authorization of Attorney(s) to Accept and Follow Instructions from Representative

Special Comments

Other

##### 5. Declaration or oath (including power of attorney)

NOTE: A newly executed declaration is not required in a continuation or divisional application provided that the prior nonprovisional application contained a declaration as required, the application being filed is by all or fewer than all the inventors named in the prior application, there is no new matter in the application being filed, and a copy of the executed declaration filed in the prior application (showing the signature or an indication thereon that it was signed) is submitted. The copy must be accompanied by a statement requesting deletion of the names of person(s) who are not inventors of the application being filed. If the declaration in the prior application was filed under § 1.47, then a copy of that declaration must be filed accompanied by a copy of the decision granting § 1.47 status or, if a nonsigning person under § 1.47 has subsequently joined in a prior application, then a copy of the subsequently executed declaration must be filed. See 37 C.F.R. §§ 1.63(d)(1)–(3).

NOTE: A declaration filed to complete an application must be executed, identify the specification to which it is directed, identify each inventor by full name including family name and at least one given name, without abbreviation together with any other given name or initial, and the residence, post office address and country or citizenship of each inventor, and state whether the inventor is a sole or joint inventor. 37 C.F.R. § 1.63(a)(1)–(4).

Enclosed

Executed by

(check all applicable boxes)

inventor(s).

legal representative of inventor(s).  
37 CFR 1.42 or 1.43.

joint inventor or person showing a proprietary interest on behalf of inventor who refused to sign or cannot be reached.

This is the petition required by 37 CFR 1.47 and the statement required by 37 CFR 1.47 is also attached. See item 13 below for fee.

Not Enclosed.

NOTE: Where the filing is a completion in the U.S. of an International Application or where the completion of the U.S. application contains subject matter in addition to the International Application, the application may be treated as a continuation or continuation-in-part, as the case may be, utilizing ADDED PAGE FOR NEW APPLICATION TRANSMITTAL WHERE BENEFIT OF PRIOR U.S. APPLICATION CLAIMED.

Application is made by a person authorized under 37 C.F.R. 1.41(c) on behalf of all the above named inventor(s).

(The declaration or oath, along with the surcharge required by 37 CFR 1.16(e) can be filed subsequently).

Showing that the filing is authorized.  
(not required unless called into question. 37 CFR 1.41(d))

## 6. Inventorship Statement

**WARNING:** If the named inventors are each not the inventors of all the claims an explanation, including the ownership of the various claims at the time the last claimed invention was made, should be submitted.

The inventorship for all the claims in this application are:

The same.  
or  
 Not the same. An explanation, including the ownership of the various claims at the time the last claimed invention was made,  
 is submitted.  
 will be submitted.

## 7. Language

**NOTE:** An application including a signed oath or declaration may be filed in a language other than English. An English translation of the non-English language application and the processing fee of \$130.00 required by 37 CFR 1.17(k) is required to be filed with the application, or within such time as may be set by the Office. 37 CFR 1.52(d).

English  
 Non-English  
 The attached translation includes a statement that the translation is accurate. 37 C.F.R. 1.52(d).

## 8. Assignment

An assignment of the invention to Nokia Multimedia Terminals Oy  
Helsinki, Finland

is attached. A separate  "COVER SHEET FOR ASSIGNMENT (DOCUMENT) ACCOMPANYING NEW PATENT APPLICATION" or  FORM PTO 1595 is also attached.

will follow.

**NOTE:** "If an assignment is submitted with a new application, send two separate letters-one for the application and one for the assignment." Notice of May 4, 1990 (1114 O.G. 77-78).

**WARNING:** A newly executed "CERTIFICATE UNDER 37 CFR 3.73(b)" must be filed when a continuation-in-part application is filed by an assignee. Notice of April 30, 1993, 1150 O.G. 62-64.

(Application Transmittal [4-1]—page 5 of 11)

## 9. Certified Copy

Certified copy(ies) of application(s)

Finland	19991721	August 13, 1999
Country	Appln. No.	Filed
Country	Appln. No.	Filed
Country	Appln. No.	Filed

from which priority is claimed

is (are) attached.

will follow.

NOTE: The foreign application forming the basis for the claim for priority must be referred to in the oath or declaration. 37 CFR 1.55(a) and 1.63.

NOTE: This item is for any foreign priority for which the application being filed directly relates. If any parent U.S. application or International Application from which this application claims benefit under 35 U.S.C. 120 is itself entitled to priority from a prior foreign application, then complete item 18 on the ADDED PAGES FOR NEW APPLICATION TRANSMITTAL WHERE BENEFIT OF PRIOR U.S. APPLICATION(S) CLAIMED.

## 10. Fee Calculation (37 C.F.R. 1.16)

### A. Regular application

CLAIMS AS FILED				
Number filed	Number Extra	Rate	Basic Fee	
			37 C.F.R. 1.16(a)	\$690.00
Total				
Claims (37 CFR 1.16(c)) 21 - 20 =	1	× \$ 22.00		22.00
Independent				
Claims (37 CFR 1.16(b)) 2 - 3 =	-0-	× \$ 82.00		
Multiple dependent claim(s), if any (37 CFR 1.16(d))		+ \$270.00		

- Amendment cancelling extra claims is enclosed.
- Amendment deleting multiple-dependencies is enclosed.
- Fee for extra claims is not being paid at this time.

NOTE: If the fees for extra claims are not paid on filing they must be paid or the claims cancelled by amendment, prior to the expiration of the time period set for response by the Patent and Trademark Office in any notice of fee deficiency. 37 CFR 1.16(d).

Filing Fee Calculation \$ 712.00

### B. Design application (\$330.00—37 CFR 1.16(f))

Filing Fee Calculation \$ \_\_\_\_\_

### C. Plant application (\$540.00—37 CFR 1.16(g))

Filing fee calculation \$ \_\_\_\_\_

## 11. Small Entity Statement(s)

Statement(s) that this is a filing by a small entity under 37 CFR 1.9 and 1.27 is (are) attached.

**WARNING:** "Status as a small entity must be specifically established in each application or patent in which the status is available and desired. Status as a small entity in one application or patent does not affect any other application or patent, including applications or patents which are directly or indirectly dependent upon the application or patent in which the status has been established. The refiling of an application under § 1.53 as a continuation, division, or continuation-in-part (including a continued prosecution application under § 1.53(d)), or the filing of a reissue application requires a new determination as to continued entitlement to small entity status for the continuing or reissue application. A nonprovisional application claiming benefit under 35 U.S.C. 119(e), 120, 121, or 365(c) of a prior application, or a reissue application may rely on a statement filed in the prior application or in the patent if the nonprovisional application or the reissue application includes a reference to the statement in the prior application or in the patent or includes a copy of the statement in the prior application or in the patent and status as a small entity is still proper and desired. The payment of the small entity basic statutory filing fee will be treated as such a reference for purposes of this section." 37 C.F.R. § 1.28(a)(2).

(complete the following, if applicable)

Status as a small entity was claimed in prior application

\_\_\_\_\_ / \_\_\_\_\_, filed on \_\_\_\_\_, from which benefit is being claimed for this application under:

35 U.S.C.  119(e),  
 120,  
 121,  
 365(c),

and which status as a small entity is still proper and desired.

A copy of the statement in the prior application is included.

Filing Fee Calculation (50% of A, B or C above)

\$ \_\_\_\_\_

**NOTE:** Any excess of the full fee paid will be refunded if small entity status is established and a refund request are filed within 2 months of the date of timely payment of a full fee. The two-month period is not extendable under § 1.136. 37 CFR 1.28(a).

## 12. Request for International-Type Search (37 C.F.R. 1.104(d))

(complete, if applicable)

Please prepare an international-type search report for this application at the time when national examination on the merits takes place.

(Application Transmittal [4-1]—page 7 of 11)

**13. Fee Payment Being Made at This Time**

Not Enclosed

No filing fee is to be paid at this time.  
(This and the surcharge required by 37 C.F.R. 1.16(e) can be paid subsequently.)

Enclosed

<input type="checkbox"/> Filing fee	\$ _____
<input type="checkbox"/> Recording assignment (\$40.00; 37 C.F.R. 1.21(h)) (See attached "COVER SHEET FOR ASSIGNMENT ACCOMPANYING NEW APPLICATION".)	\$ _____
<input type="checkbox"/> Petition fee for filing by other than all the inventors or person on behalf of the inventor where inventor refused to sign or cannot be reached (\$130.00; 37 C.F.R. 1.47 and 1.17(i))	\$ _____
<input type="checkbox"/> For processing an application with a specification in a non-English language (\$130.00; 37 C.F.R. 1.52(d) and 1.17(k))	\$ _____
<input type="checkbox"/> Processing and retention fee (\$130.00; 37 C.F.R. 1.53(d) and 1.21(l))	\$ _____
<input type="checkbox"/> Fee for international-type search report (\$40.00; 37 C.F.R. 1.21(e))	\$ _____

NOTE: 37 CFR 1.21(l) establishes a fee for processing and retaining any application that is abandoned for failing to complete the application pursuant to 37 CFR 1.53(f) and this, as well as the changes to 37 CFR 1.53 and 1.78(a)(1), indicate that in order to obtain the benefit of a prior U.S. application, either the basic filing fee must be paid, or the processing and retention fee of § 1.21(l) must be paid, within 1 year from notification under § 53(f).

Total fees enclosed \$ \_\_\_\_\_

**14. Method of Payment of Fees**

Check in the amount of \$\_\_\_\_\_

Charge Account No. \_\_\_\_\_ in the amount of  
\$\_\_\_\_\_

A duplicate of this transmittal is attached.

NOTE: Fees should be itemized in such a manner that it is clear for which purpose the fees are paid. 37 CFR 1.22(b).

(Application Transmittal [4-1]—page 8 of 11)

## 15. Authorization to Charge Additional Fees

**WARNING:** If no fees are to be paid on filing, the following items should not be completed.

**WARNING:** Accurately count claims, especially multiple dependent claims, to avoid unexpected high charges, if extra claim charges are authorized.

The Commissioner is hereby authorized to charge the following additional fees by this paper and during the entire pendency of this application to Account No. \_\_\_\_\_:

37 C.F.R. 1.16(a), (f) or (g) (filing fees)  
 37 C.F.R. 1.16(b), (c) and (d) (presentation of extra claims)

**NOTE:** Because additional fees for excess or multiple dependent claims not paid on filing or on later presentation must only be paid or these claims cancelled by amendment prior to the expiration of the time period set for response by the PTO in any notice of fee deficiency (37 CFR 1.16(d)), it might be best not to authorize the PTO to charge additional claim fees, except possibly when dealing with amendments after final action.

37 C.F.R. 1.16(e) (surcharge for filing the basic filing fee and/or declaration on a date later than the filing date of the application)  
 37 C.F.R. §§ 1.17(a)(1)–(5) (extension fees pursuant to § 1.136(a)).  
 37 C.F.R. 1.17 (application processing fees)

**NOTE:** ". . . A written request may be submitted in an application that is an authorization to treat any concurrent or future reply, requiring a petition for an extension of time under this paragraph for its timely submission, as incorporating a petition for extension of time for the appropriate length of time. An authorization to charge all required fees, fees under § 1.17, or all required extension of time fees will be treated as a constructive petition for an extension of time in any concurrent or future reply requiring a petition for an extension of time under this paragraph for its timely submission. Submission of the fee set forth in § 1.17(a) will also be treated as a constructive petition for an extension of time in any concurrent reply requiring a petition for an extension of time under this paragraph for its timely submission." 37 C.F.R. § 1.136(a)(3).

37 C.F.R. 1.18 (issue fee at or before mailing of Notice of Allowance, pursuant to 37 C.F.R. 1.311(b))

**NOTE:** Where an authorization to charge the issue fee to a deposit account has been filed before the mailing of a Notice of Allowance, the issue fee will be automatically charged to the deposit account at the time of mailing the notice of allowance. 37 CFR 1.311(b).

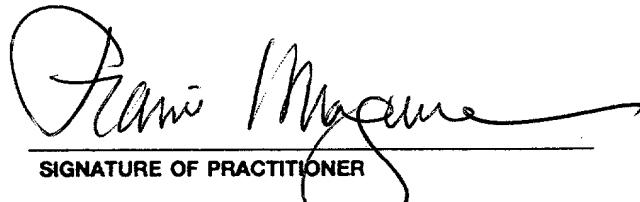
**NOTE:** 37 CFR 1.28(b) requires "Notification of any change in status resulting in loss of entitlement to small entity status must be filed in the application . . . prior to paying, or at the time of paying, . . . the issue fee. . . ." From the wording of 37 CFR 1.28(b), (a) notification of change of status must be made even if the fee is paid as "other than a small entity" and (b) no notification is required if the change is to another small entity.

16. Instructions as to Overpayment

NOTE: ". . . Amounts of twenty-five dollars or less will not be returned unless specifically requested within a reasonable time, nor will the payer be notified of such amounts; amounts over twenty-five dollars may be returned by check or, if requested, by credit to a deposit account." 37 C.F.R. § 1.26(a).

Credit Account No. \_\_\_\_\_

Refund



SIGNATURE OF PRACTITIONER

Francis J. Maquire

(type or print name of attorney)

WARE, FRESSOLA, VAN DER SLUYS & ADOLPHSON

LL

P.O. Address

755 Main Street, PO Box 224

Monroe CT 06468

(Application Transmittal [4-1]—page 10 of 11)

Reg. No. 31,391

Tel. No. (203) 261-1234

Customer No.

**Incorporation by reference of added pages**

*(check the following item if the application in this transmittal claims the benefit of prior U.S. application(s) (including an international application entering the U.S. stage as a continuation, divisional or C-I-P application) and complete and attach the ADDED PAGES FOR NEW APPLICATION TRANSMITTAL WHERE BENEFIT OF PRIOR U.S. APPLICATION(S) CLAIMED)*

Plus Added Pages for New Application Transmittal Where Benefit of Prior U.S. Application(s) Claimed

Number of pages added \_\_\_\_\_

Plus Added Pages for Papers Referred to in Item 4 Above

Number of pages added \_\_\_\_\_

Plus added pages deleting names of inventor(s) named in prior application(s) who is/are no longer inventor(s) of the subject matter claimed in this application.

Number of pages added \_\_\_\_\_

Plus "Assignment Cover Letter Accompanying New Application"

Number of pages added \_\_\_\_\_

**Statement Where No Further Pages Added**

*(if no further pages form a part of this Transmittal, then end this Transmittal with this page and check the following item)*

This transmittal ends with this page.

915-374  
PATENT

JC873 U.S. PTO  
09/637508  
06/11/00

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: M. Vehvilainen

Serial No.: 0 / Group No.:

Filed: Herewith Examiner:

For: Method and Arrangement for Reducing the Volume or Rate  
of an Encoded Digital Video Bitstream

Commissioner of Patents and Trademarks

Washington, D.C. 20231

TRANSMITTAL OF CERTIFIED COPY

Attached please find the certified copy of the foreign application from which priority is claimed for this case:

Country : Finland  
Application Number : 19991721  
Filing Date : August 13, 1999

Reg. No. 31,391

Francis J. Maquire  
SIGNATURE OF ATTORNEY

Tel. No. (203) 261-1234

Type or print name of attorney  
WARE, FRESSOLA, VAN DER SLUYS & ADOLPHSON  
P.O. Address  
755 Main Street, PO Box 224  
Monroe CT 06468

NOTE: The claim to priority need be in no special form and may be made by the attorney or agent if the foreign application is referred to in the oath or declaration as required by § 1.63.

CERTIFICATE OF MAILING (37 CFR 1.89-1.10)

I hereby certify that this paper (along with any paper referred to as being attached or enclosed) is being deposited with the United States Postal Service on the date shown below with sufficient postage as ~~first class mail~~ in an envelope addressed to the: Commissioner of Patents and Trademarks, Washington, D.C. 20231. Exp. Mail No. EL 091990404 US

Date: August 11, 2000

Judith Schick

(Type or print name of person mailing paper)

Judith Schick  
(Signature of person mailing paper)

(Transmittal of Certified Copy [5-4])

IN THE U.S. PATENT AND TRADEMARK OFFICERe application of :  
M. Vehviläinen :  
Filed: Herewith :For: METHOD AND ARRANGEMENT FOR REDUCING THE VOLUME  
OR RATE OF AN ENCODED DIGITAL VIDEO BITSTREAMPRELIMINARY AMENDMENT AAssistant Commissioner for Patents  
U.S. Patent and Trademark Office  
Washington DC 20231

Sir:

Please preliminarily amend the above-referenced application  
as follows:FILING OF PAPERS AND FEES BY "EXPRESS MAIL"  
WITH CERTIFICATE IN ACCORDANCE WITH 37 CFR 1.10I hereby certify that this correspondence is being  
deposited with the United States Postal Service on the  
date shown below with sufficient postage as "Express Mail"  
in an envelope with Mailing Label No. EL 091990404 US  
placed thereon prior to mailing and addressed to the  
Assistant Commissioner for Patents, Washington DC 20231.Judith Schick

Judith Schick

Dated: 8-11-08

DO NOT FILE UNTIL 2008-08-11

IN THE SPECIFICATION:

At page 1, prior to line 3

please insert new headings as follows:

--BACKGROUND OF THE INVENTION

1. Technical Field--; and

prior to line 9

please insert a new heading as follows:

--2. Discussion of Related Art--.

At page 6, prior to line 1

please insert a new heading as follows:

--SUMMARY OF THE INVENTION--.

At page 7, prior to line 25

please insert a new heading as follows:

--BRIEF DESCRIPTION OF THE DRAWINGS--; and

at line 31

please cancel "an" and substitute --, and-- therefor.

At page 8, prior to line 1

please insert a new heading as follows:

--DETAILED DESCRIPTION OF THE INVENTION--.

At page 9, line 32

after "form", please insert

new text as follows: --,  
 where the European "comma" is  
 again used, as in Fig. 6a,  
 instead of the U.S. "period"  
 to signify the decimal  
 "point". This convention will  
 be used throughout this  
 description.--.

At page 16, after line 19

please insert new text as follows:

--Although the invention has been shown and described with respect to a best mode embodiment thereof, it should be understood by those skilled in the art that the foregoing and various other changes, omissions and additions in the form and detail thereof may be made therein without departing from the spirit and scope of the invention.--.

At page 17, line 1

please cancel "Claims" and  
substitute --I claim:--  
therefor.

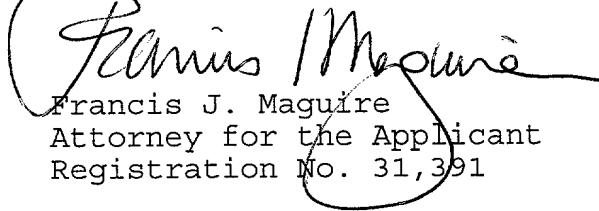
At page 21, line 1

after "Abstract", please  
insert --of the Disclosure--.

REMARKS

This preliminary amendment is submitted for the purpose of placing the application into standard US format and to correct certain informalities in the text. Consideration and allowance are earnestly solicited.

Respectfully submitted,

  
Francis J. Maguire  
Attorney for the Applicant  
Registration No. 31,391

FJM/mbh  
August 11, 2000  
WARE, FRESSOLA, VAN DER SLUYS  
& ADOLPHSON LLP  
755 Main Street, PO Box 224  
Monroe CT 06468  
(203) 261-1234

U.S. Patent Application of  
MARKKU VEHVILÄINEN

relating to a

METHOD AND ARRANGEMENT FOR  
REDUCING THE VOLUME OR RATE OF AN  
ENCODED DIGITAL VIDEO BITSTREAM

Express Mail No. EL 091990404 US

**Method and arrangement for reducing the volume or rate of an encoded digital video bitstream**

The invention concerns in general the technological field of processing digital video signals. Especially the invention concerns the technology of reducing the volume or rate of a bitstream that carries an encoded digital video signal. The volume of a bitstream refers generally to the number of bits involved, and the rate of a bitstream refers generally to the number of bits per second which is required to transmit the bitstream between two locations.

The common way of producing a digital representation of an image is to convert the generally continuous image plane into a map of tightly spaced elementary picture units called pixels, and to give each pixel a value or a group of values that represent its color, brightness and/or other visual characteristics. A raw digital video signal is an essentially continuous stream of subsequent still images where the pixels of each image are represented by their digital values. The volume of such a bit stream depends heavily on the applied resolution and tends to be relatively large. Various video compression methods have been presented for encoding the digital video bitstream into a compressed form for easy transportation and storing. In the following we will briefly recapitulate some main features of the known MPEG-2 video compression and decompression method, where the acronym comes from Motion Picture Experts Group.

The main part of MPEG-2 type encoding of a digital image consists of dividing the image into blocks of 8 x 8 pixels, applying a two-dimensional DCT or discrete cosine transform to each block to convert the spatial frequency content of the block into a series of DCT coefficients, weighting and quantizing the DCT coefficients by a certain quantization matrix, applying a VLC or variable length coding scheme to compact the representation of the weighted and quantized DCT coefficients and packetizing the result together with a certain amount of additional information into certain standardized data structures for transportation and/or storing. An MPEG-2 decoder takes the bit stream consisting of such standardized data structures and reconstructs the pixel values of the images by decoding the VLC, dequantizing the groups of DCT coefficients that describe each block and applying an inverse DCT to restore the original spatial frequency content of the block. The decoded digital video signal which is composed from the decoded blocks may then be conducted for example to a displaying apparatus.

A number of modifications to the above-listed block-level operations take place according to whether the block under consideration belongs to an I-picture, a P-picture or a B-picture. Of these an I-picture or intra-coded picture is an independently coded picture which is also decodable without reference to other pictures, a P-picture or predicted picture comprises

some references to a former I- or P-picture, and a B-picture or bi-directionally coded picture may refer to either a former or an oncoming I- or B-picture or to both a former and an oncoming I- or B-picture. Here the terms "former" and "oncoming" refer to the displaying order of the pictures and not their transmission order which may be different. I-, P- and B-pictures alternate in the sequence of pictures according to a set of predefined rules.

5 Fig. 1 is a block diagram of a known MPEG-2 encoder. The sequence of picture frames is input at point 101 to a preprocessing and frame reordering block 102 the output of which is coupled through a selection switch 103 to the input of a DCT encoder 104. One of the branches selectable with switch 103 comprises a subtraction unit 105. From the output of the DCT encoder 104 there is a series connection of a quantization block 106, a VLC encoder 107 and a transmission buffer 108 to the output 109 of the whole MPEG-2 encoder. 10 From the output of the preprocessing and frame reordering block 102 and from the transmission buffer 108 there are connections to a bit rate control unit 110, the output of which controls the operation of the quantization block 106. From the output of the quantization block 106 there is also a series connection of an inverse quantization block 111, an inverse DCT block 112 and an addition unit 113 to a double switch 114 which is arranged to couple the output of the addition unit 113 to the input of either a first frame memory 115 or a second frame memory 116. The outputs of the frame memories 115 and 15 memory 116 are coupled both to a motion compensation block 117 and a motion estimation block. 20 The former provides the other input signal to both the subtraction unit 105 and the addition unit 113. The motion estimation block gets an additional input from the output of the preprocessing and frame reordering block 102, and it provides motion vectors to both the motion compensation block 117 and the VLC encoder 107.

25 Fig. 2 is a block diagram of a known MPEG-2 decoder. From the input 201 of the decoder there is a series connection of a receiving buffer 202, a VLC decoder 203, an inverse quantization block 204 and an inverse DCT block 205 to the first input of an addition unit 206. A first three-state switch 207 couples the output of the addition unit 206 alternately to 30 one of the first 208, second 209 or third 210 frame memories. A second three-state switch 211 couples alternately the output of one of the first 208, second 209 or third 210 frame memories to the output 212 of the whole decoder. From the VLC decoder 203 there is a connection to a motion compensation block 213 for providing the motion vectors extracted from the received signal. The other inputs to the motion compensation block 213 come from the outputs of the second 209 and third 210 frame memories. The output of the motion compensation block 213 is coupled to the other input of the addition unit 206 through a 35 switch 214.

The compressed MPEG-2 video signal produced at the output of the encoder of Fig. 1 is arranged according to a six-layer hierarchy which is illustrated in Fig. 3. The highest level is

the sequence layer on which the exemplary signal of Fig. 3 comprises three concatenated video sequences. Each video sequence starts with a header section with a sequence starting code, a sequence header and a sequence extension part. The header section may be repeated at arbitrary parts of the video sequence. The end of the video sequence is marked with a 5 sequence end code.

The second highest level is the GOP or group of pictures level, where a GOP typically contains exactly one I-picture and an arbitrary number of P- and B-pictures. Within the video sequence each GOP starts with a GOP starting code and a GOP header, which are followed by the picture data portion of the GOP. On the picture layer we see that within the 10 picture data portion of the GOP each picture starts with a picture starting code and a picture header with an additional extension part. These are followed by the actual picture data. It should be noted that while only one P-picture and one B-picture are explicitly shown on the picture layer of Fig. 3, typical GOPs may comprise 1 to 4 P-pictures and 1 to 10 B-pictures.

On the slice layer the actual picture data is seen to consist of a multiple of slices. Each slice 15 begins with a slice starting code and a slice header, which are followed by at least one macroblock. On the macroblock layer the macroblock is seen to consist of a set of macroblock attributes, a set of motion vectors and a group of blocks. The number of blocks in each macroblock is fixed so that there are four luminance blocks, one U chrominance block and one V chrominance block. The chrominance resolution is half of the luminance 20 resolution in both horizontal and vertical directions which means that the spatial coverage of the U and V chrominance blocks in the macroblock is the same as the combined spatial coverage of the four luminance blocks. On the block layer each block is seen to consist of the DCT coefficients of the block followed by a block end code.

Let us examine some phases of the generation of the signal shown in Fig. 3 by the encoder 25 of Fig. 1 in more detail. The DCT encoder 104 takes one block of  $8 \times 8$  pixels at a time and calculates a two-dimensional discrete cosine transform which results in 64 coefficients that describe the spatial frequency content of the block. One of the coefficients (the first one in the common mathematical representation) is the so-called DC coefficient which is proportional to the average value of the pixels of the block. The rest of the coefficients are 30 known as the AC coefficients. It is conventional to represent the coefficients in a  $8 \times 8$  matrix form where the DC coefficient is in the upper left corner. The AC coefficients are located in the matrix so that the distance of each coefficient from the upper left corner is proportional to the frequency represented by that coefficient: the most distant coefficients represent the highest spatial frequencies. Additionally the direction of a fictitious line drawn 35 between the location of the coefficient and the upper left corner coincides with the direction the spatial frequency into which the coefficient represents.

The 8 x 8 matrix of DCT coefficients for each block is not transmitted as such, but in a weighted, quantized and variable length coded (VLC) form. Weighting means that each element in the DCT coefficient matrix is divided by the corresponding element in a 8 x 8 weighting matrix. Quantization and VLC encoding may then be understood as rounding 5 each quotient into the nearest integer and providing a codeword representation for the results: each rounded quotient is mapped into a codeword that unequivocally indicates both the value of the rounded quotient and the number of eventually occurring zeroes between that quotient and the previous non-zero quotient when the quotients are read from the 8 x 8 matrix in the predefined zigzag form illustrated by line 401 in Fig. 4. The coding of runs of 10 subsequent constant values into code words instead of transmitting the values explicitly is also known as run length encoding.

The natural form of the quantization matrix is such that its elements tend to have the larger values the farther they are from the upper left corner. As a result, in most weighted coefficient matrices there is a certain last non-zero quotient after which the rest of the 15 quotients (when read in said zigzag form) are so small that rounding them into the nearest integer produces all zeros. The relative amount of pictorial activity in the pictures to be encoded may be counterbalanced by selecting a suitable weighting matrix: when the values of the elements in the weighting matrix increases steeply, the relative size of the all zeros part of the weighted and quantized coefficient matrix increases, which together with the 20 run-length encoding mentioned above means less bits produced per block. Naturally the weighting and quantization operation causes loss of pictorial information, so from the viewpoint of reproducible picture quality it is advantageous to keep the "zeroing" effect of weighting and quantization as low as possible as long as the volume or rate of the produced bit stream is within predefined limits. The weighting matrices can be different for each 25 picture, meaning that each picture header part seen on the picture layer of Fig. 3 may contain a new quantization matrix (actually the allowed quantization matrices are linear multiples of each other, so the picture header only needs to contain a multiplier that is used to obtain the currently valid quantization matrix from a certain predefined default matrix).

The MPEG-2 specifications introduce a so-called Virtual Buffer Verifier or VBV 30 mechanism to control the rate of producing an encoded bitstream. The aim of the VBV is to ensure that it will be possible to decode the encoded bitstream with a decoder that has an input buffer of a certain fixed size. A virtual buffer is a hypothetical first-in-first-out buffer memory which is thought to be directly connected to the output of the encoder. The size of the virtual buffer in bits is declared in the sequence header. At the beginning of encoding a 35 video sequence the virtual buffer is "filled" to a certain fullness which is specified in the bitstream. Thereafter the buffer occupancy is inspected after each picture interval before and after removing from the buffer the bits belonging to the picture which has been in the

buffer longest. Both before and after the removal of bits the number of bits in the buffer must remain between zero and B, where B is the size of the virtual buffer in bits. The larger the size of the virtual buffer, the more the number of bits produced by encoding an individual picture is allowed to deviate from the average. If the inspection of the virtual 5 buffer occupancy shows an underflow, the encoded picture which was removed from the virtual buffer consumed too many bits: more compression must be introduced by using a steeper weighting matrix. An observed virtual buffer overflow shows that volume of the bit stream is about to fall below its defined minimum limit, which is corrected by adding stuffing bits to the bitstream.

10 The problem which the present invention aims to overcome is that once the bitstream that carries an encoded digital video signal has been produced by the encoder, its volume or rate is constant. A certain predefined transmission capacity is required for transmitting it between two locations, and a certain predefined storage capacity is required to store e.g. the complete video sequence onto a storage medium for later use. It would be advantageous if a 15 user or other party taking part in the transmission, storage or use of the bitstream could adapt the volume or rate of the bitstream to the available transmission or storage capacity.

Various known video filtering techniques can be used for simplifying a picture: for example it is possible to repeatedly take a number of adjacent pixels and replace them with a smaller 20 number of adjacent pixels the values of which are obtained from the values of the original pixels through a certain averaging scheme. Reducing the total number of pixels in each picture naturally reduces the volume or rate of the bitstream which is composed of the pictures. Another approach is to limit the number of bits which are available to indicate the value(s) associated with each pixel, resulting in a reduced number of different tones in the 25 picture. However, all such video filtering techniques where the filtering takes place on the pixel level require that the encoded digital video signal is completely decoded, i.e. the original pictures are restored before the filtering is possible, and re-encoded after the filtering. Decoding and re-encoding the bitstream completely just for reducing its volume or rate requires a considerable amount of time and other resources.

One could propose an alternative approach for reducing the volume or rate of a bitstream 30 where complete pictures would be cut out from the encoded bitstream without otherwise decoding it. In order not to change the displaying rate the removed pictures should be replaced with some kind of codes that instruct the displaying apparatus to echo the previous picture instead or to otherwise fill the gap in the picture sequence. The drawback of this approach is that the addition of such codes to an already applied standard is very difficult: 35 only new or newly reprogrammed display apparatuses would understand the codes correctly. Additionally the removal of pictures tends to cause twitching in the displayed video image.

It is an object of the present invention to provide a method and an arrangement for reducing the volume or rate of an encoded digital video signal. Especially it is an object of the invention to accomplish the volume or rate reduction essentially without requiring changes to the existing coding standards. It is a further object of the invention to provide such a 5 method and arrangement so that the implementation is simple and advantageous from the manufacturing point of view. An additional object of the invention is that the method and arrangement should be easily integrated into various existing and future signal processing arrangements.

The objects of the invention are achieved by partly decoding the encoded digital video 10 signal, applying low pass filtering and/or rescaling to the partly decoded signal and re-encoding the result into the fully encoded form.

The method according to the invention comprises the characteristic steps of

- partly decoding an encoded digital video bitstream, thus producing a partly decoded digital video bitstream,

15    - reducing the amount of bits in the partly decoded digital video bitstream and

- re-encoding the partly decoded digital video bitstream in which the amount of bits is reduced, thus producing a re-encoded digital video bitstream, the volume or rate of which is smaller than that of the encoded digital video bitstream, that fulfils a certain set of predefined structural rules.

20    The invention also applies to an arrangement which comprises as its characteristic features

- means for partly decoding an encoded digital video bitstream,
- means for reducing the amount of bits in the partly decoded digital video bitstream and
- means for re-encoding the partly decoded digital video bitstream in which the amount of bits is reduced.

25    The invention is based on the insight that an encoded digital video signal does not need to be decoded completely to reach a level where it is possible to produce even very large variations to the volume or rate of the bitstream without making fundamental changes to its basic structure. According to the invention the bitstream is post-processed in a form which is somewhere between a fully encoded and fully decoded form. The level on which the post- 30 processing is accomplished, and the part(s) of the bitstream that are the subjected to it are selected so that the adverse effects introduced by the volume or rate reduction on the observable quality of the signal are kept under control. The post-processing can be made adaptive by selecting its transfer function according to certain predefined characteristics of the signal.

35    Within the MPEG-2 framework the suitable level on which the invention is applied is the level of DCT coefficients and their quantization. In the research which led to the invention

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it was found that simply rescaling the DCT coefficients is not advantageous because even a relatively moderate level of rescaling tends to make the block boundaries visible in the reproduced picture. However, low pass filtering the DCT coefficients, i.e. changing the relative magnitudes of the spatial frequency components within a block with an emphasis on lower frequencies, potentially combined with rescaling, was found to produce excellent results. To achieve the low pass filtering the weighted, quantized and VLC encoded coefficient matrices contained in the original MPEG-2 bitstream are subjected to VLC decoding, after which the step(s) of (rescaling and) filtering are performed and the results are again VLC encoded. These operations are complemented by a number of supporting steps which ensure that after the (rescaling and), low pass filtering and VLC re-encoding the MPEG-2 bitstream with reduced volume or rate can be reconstructed without violating the general rules governing the MPEG-2 format.

The selection of frequency response for the low pass filter may be done by several alternative strategies. It has been found advantageous to use an adaptive filter the frequency response of which is matched to the energy content of the picture blocks either on block by block basis or by using some other methods of energy content analysis. Most advantageously the analysis of the block energy content takes separately into account the energy associated with the different spatial frequency directions, like horizontal, vertical and diagonal.

The novel features which are considered as characteristic of the invention are set forth in particular in the appended Claims. The invention itself, however, both as to its construction and its method of operation, together with additional objects and advantages thereof, will be best understood from the following description of specific embodiments when read in connection with the accompanying drawings.

Fig. 1 illustrates a known MPEG-2 encoder,

Fig. 2 illustrates a known MPEG-2 decoder,

Fig. 3 illustrates the known hierarchical structure of an MPEG-2 formatted bitstream,

Fig. 4 illustrates the known zigzag reading order of DCT coefficients,

Fig. 5 is a block diagram of an advantageous embodiment of the invention,

Fig. 6a illustrates a certain filtering function,

Fig. 6b illustrates a certain definition of directionality of DCT coefficients an

Fig. 7 illustrates the compression principle of the invention.

Figs. 1 to 4 have been described above in connection with prior art, so the following discussion will concentrate on Figs. 5, 6a, 6b and 7.

Fig. 5 is a block diagram of an apparatus which can be used to reduce the volume or rate of an MPEG-2 encoded bitstream which appears at the input line 501. A bit stream analyzer 5 block 502 is coupled to the input 501. It has four data outputs which are known as the "untouched" output, "DCT coefficients" output, "quantization matrices" output and the "virtual buffer verifier" output. Additionally the bit stream analyzer block 502 has a control output. At the right in Fig. 5 there is a multiplexer block 503 which has four data inputs, one control input and one output of which the latter is coupled to the output line 504 of the 10 whole apparatus. The data inputs of the multiplexer block 503 have the same names as the data outputs of the bit stream analyzer block 502.

The control output of the bit stream analyzer block 502 is directly coupled to the control input of the multiplexer block 503 and the "untouched" output of the bit stream analyzer block 502 is directly coupled to the corresponding input of the multiplexer block 503. 15 Between the "DCT coefficients" output of the bit stream analyzer block 502 and the corresponding input of the multiplexer block 503 there is the series connection of a variable length decoder 505, a requantization block 506, an adaptive DCT filtering block 507 and a variable length re-encoder block 508. Between the "quantization matrices" output of the bit stream analyzer block 502 and the corresponding input of the multiplexer block 503 there is 20 an element-wise matrix multiplier block 509 and between the "virtual buffer verifier" output of the bit stream analyzer block 502 and the corresponding input of the multiplexer block 503 there is a VBV value modifier block 510. Between the requantization block 506 and the element-wise matrix multiplier block 509 there is a control connection. Similarly 25 there are control connections from the variable length decoder 505 and re-encoder block 508 to the VBV value modifier block 510.

The arrangement of Fig. 5 operates according to the following description.

The bit stream analyzer block 502 performs a demultiplexing function where the VBV values and other virtual buffer related information are directed to the VBV value modifier block 510, the weighting (quantization) matrices are directed to the element-wise matrix multiplier block 509, the DCT coefficient matrices are directed to the variable length decoder 505 and the rest of the bitstream is directed through the "untouched" output to the 30 corresponding input of the multiplexer block 503.

The variable length decoder 505 decodes the VLC encoded DCT coefficient matrices and feeds them into the requantization block 506, which applies a requantization function the 35 aim of which is to enlarge the quantization step used in the original encoding process.

According to an advantageous embodiment of the invention the requantization is a simple division, also known as rescaling, where all DCT coefficients of each coefficient matrix are divided by a certain parameter which may be designated as  $\alpha$ . For a certain reason given below the value of  $\alpha$  must remain constant through all blocks for which the same weighting

5 matrix has been used in the original encoding. The most advantageous value for the parameter  $\alpha$  depends on the amount of reduction which must be achieved in the volume or rate of the bitstream. The higher the value of  $\alpha$ , the closer the requantized DCT coefficients tend to get to zero, which means more compression in the bitstream. The other way round, the closer the value of  $\alpha$  is to one, the less compression is obtained through requantization.

10 It has been shown that requantization easily introduces perceptible artifacts into the pictures (e.g. the block boundaries tend to become visible) which means that depending heavily on requantization to reduce the volume or rate of the bitstream is not advantageous. Suitable values for  $\alpha$  may be found by experimenting. The invention does not require the use of requantization at all, i.e. the value of  $\alpha$  may well be 1.

15 The requantized DCT coefficient matrices are directed to the DCT filtering block 507, which applies a certain transfer function which is most advantageously of the low-pass type: the DCT coefficients which represent the lowest spatial frequencies are preserved while the DCT coefficients which represent the higher spatial frequencies are reduced in value or even zeroed. The recommendation of a generally low-pass type filtering strategy follows

20 from the observation that it is the higher spatial frequencies that give rise to the blocking artifact referred to above. The invention does not limit the actual form of the transfer function. We will describe some potential transfer functions in more detail.

To make it easier to understand the filtering we may use a geometrical model in which the transfer function is first defined as a certain two-dimensional curve between the ordinate values from 0 to 7 and converted into a three-dimensional surface by rotating it around the vertical coordinate axis by 90 degrees. Fig. 6a illustrates a surface produced by rotating the known gaussian curve, known also as the (1 2 1) low-pass filter response, fitted into the range from 0 to 7 around the vertical axis. Filtering with this transfer function means that the  $8 \times 8$  integral intersection points on the horizontal plane are considered and the corresponding values on the surface are taken as the multipliers that are used to multiply the  $8 \times 8$  DCT coefficients in the DCT coefficient matrix. Table I shows the multipliers in tabular form.

Table I

1	0,95	0,81	0,61	0,39	0,19	0,05	0
0,95	0,9	0,77	0,57	0,36	0,17	0,04	0
0,81	0,77	0,65	0,47	0,29	0,12	0,02	0
0,61	0,57	0,47	0,33	0,19	0,06	0	0,01
0,39	0,36	0,29	0,19	0,08	0,01	0	0
0,19	0,17	0,12	0,06	0,01	0	0	0
0,05	0,04	0,02	0	0	0	0	0
0	0	0	0,01	0	0	0	0

Another possible transfer function could be obtained by rotating a step function with a step from 1 to 0 at some point X (so that  $0 < X < 7$ ) around the vertical axis. This would result in 5 a "top hat" surface with the value 1 for all ordinate points which are closer than X to the origin and the value 0 for all other ordinate points. Still another proposed transfer function could be obtained by rotating a straight descending line around the vertical axis, resulting in a conical transfer function surface with an upwards pointing vertex at the vertical axis. In practice it has been noted that using either a "top hat" transfer function or a conical one 10 tends to introduce ghost lines and ripple into the picture. It is not required that the transfer function should possess any cylindrical symmetry, i.e. the "filter surface" need not be obtained through rotating a two-dimensional curve around the vertical axis.

The form of the transfer function applied in the DCT filtering block 507 to low pass filter 15 the spatial frequency components of the blocks is of primary importance regarding the amount of reduction achieved in the volume or rate of the bitstream through the use of the invention. In the following we consider exclusively transfer functions of the rotationally obtained gaussian type, although the following discussion is also applicable to arbitrary transfer functions. The two-dimensional gaussian curve which is used to define the filter surface may be scaled in the horizontal direction: squeezing it closer to the origin means 20 that the point where the curve begins to give negligibly small values is associated already with a relatively small ordinate value, whereas stretching it away from the origin means that the values given by the curve remain substantially greater than zero even for relatively large ordinate values. The effect of the squeezing or stretching of the two-dimensional curve on 25 the rotationally obtained filtering surface are easily understood: the "hill" around the vertical axis becomes either steeper (squeezing) or smoother (stretching).

Because the DCT coefficients to be filtered are conceptually associated with certain points on the ordinate plane, scaling is easily modelled by mapping each of said points consistently to another point on the ordinate plane before reading the corresponding filtering factor from

the filtering surface. For each point the mapping takes place along a line which goes through both the original point and the origin: squeezing means mapping the point farther away from the origin and stretching means mapping it closer to the origin. It is clear that squeezing is synonymous to applying a tighter low pass function (leaving only relatively few lowest spatial frequencies and canceling all others) and stretching means that the low pass function is loosened to pass even some of the higher spatial frequencies through in substantial magnitude.

The "squeezing" or "stretching" of the filter surface is more generally known as adapting the filtering function. According to the MPEG-2 embodiment of the invention the filtering function is adapted enough to – together with the eventual effect of the rescaling described above – achieve the required reduction in the volume or rate of the bitstream. The required degree of adaptation, i.e. the amount by which the filter surface is squeezed or stretched to achieve a certain predefined reduction in volume or rate, may be preprogrammed to a look-up table which the DCT filtering block 507 consults after the apparatus of Fig. 5 has received a command to perform a bitstream volume or rate reduction operation from a certain given input volume or rate to a certain given output volume or rate, or the DCT filtering block may obtain it dynamically by starting with a certain preprogrammed default filtering function and using a feedback loop to change the amount of adaptation if the obtained output volume or rate is too high or too low.

Up to this point we have described the use of the same filtering function to all DCT coefficients in a coefficient matrix. The invention does not contain such a limitation. Indeed, it has been found that by applying a differently adapted filtering function to horizontally, vertically and diagonally directed spatial frequencies it is possible to obtain very advantageous results. Fig. 6b illustrates an exemplary division of the DCT coefficients to those relating to horizontally, vertically and diagonally directed spatial frequencies. Also other kinds of definitions are possible, as is the use of a larger or smaller number of directional groups.

Taken that a grouping into horizontally, vertically and diagonally directed spatial frequencies is defined, it is advantageous to define the scaling factor for the filtering function separately for each group. A simple way of defining the scaling factor is to take the DCT coefficient that represents the highest signal energy within the group, and examine its position within the DCT coefficient matrix. The position may be represented with a variable P. If we are considering the group of horizontally directed spatial frequencies, let P take the horizontal index value of the examined DCT coefficient. In other words, if within the group of horizontally directed spatial frequencies the highest signal energy is represented by the coefficient the location of which in the DCT coefficient matrix is  $(i1, j1)$ , let P have the value  $j1$  when the filtering of the horizontally directed spatial frequencies is considered.

Similarly, if within the group of vertically directed spatial frequencies the highest signal energy is represented by the coefficient the location of which in the DCT coefficient matrix is  $(i_2, j_2)$ , let P have the value  $i_2$  when the filtering of the vertically directed spatial frequencies is considered. If within the group of diagonally directed spatial frequencies the highest signal energy is represented by the coefficient the location of which in the DCT coefficient matrix is  $(i_3, j_3)$ , let P have the greater of the values  $i_3$  and  $j_3$  when the filtering of the diagonally directed spatial frequencies is considered.

When the value for the variable P has been found within a group of spatial frequencies directed to a certain direction, an advantageous way of calculating the scaling factor for the filtering function regarding that group of spatial frequencies is to divide the value of P by a certain number which may be constant or which may be obtained from a look-up table relating to a required compression ratio as described above. The divisor used to divide the value of P may also be dynamically adapted by using feedback that describes the relation between the obtained and required compression ratio. For the adaptive filtering to be effective it is advantageous to select the divisor so that relatively high values of P cause stretching and relatively low values of P cause squeezing to the filtering function.

Other advantageous ways of finding the correct adaptation to the filtering function associated to a certain group of spatial frequencies directed to a certain direction are the calculations of the variance  $s^2$  or mean absolute error  $s$  of signal frequencies represented by the DCT coefficients belonging to the group. The variance  $s^2$  is calculated according to the formula

$$s^2 = \frac{1}{n-1} \sum_{i,j} [DCT(i,j) - \bar{x}]^2$$

and the mean absolute error  $s$  is calculated according to the formula

$$s = \frac{1}{n} \sum_{i,j} |DCT(i,j) - \bar{x}|$$

where  $n$  is the number of DCT coefficients in the group,  $DCT(i, j)$  is the DCT coefficient at location  $(i, j)$  within the DCT coefficient matrix,  $\bar{x}$  is the mean value of the DCT coefficients in the group and the summing over  $i$  and  $j$  extends through the group. The variance or mean absolute error may be used as such as the scaling factor for the filtering function associated with that group, or it may be divided or multiplied by a number which is defined similarly as the divisor of the value P described above.

Let us complement the description of the adaptive filtering function with an example. We consider the filtering function which is used to filter the group of horizontally directed

5 spatial frequencies (with the group defined as in Fig. 6b) first in a case where the block to be filtered is found to contain high horizontal activity and then in a case where the block to be filtered is found to contain low horizontal activity. Table II shows the two top rows of the original filtering matrix which is used to describe the filter surface in the actual filtering operation. These are the same as the two top rows of Table I above.

**Table II**

1	0,95	0,81	0,61	0,39	0,19	0,05	0
0,95	0,9	0,77	0,57	0,36	0,17	0,04	0

10 Note that the leftmost column does not affect the filtering of horizontally directed spatial frequency components, since the top value there corresponds to the DC coefficient and the lower value corresponds to the topmost coefficient the vertical group. Let us assume that in a block where high horizontal activity is found the largest coefficient is at a horizontal location 6, which becomes the value of P. This is a relatively large value of P, so stretching is caused. The resulting top rows of the modified filtering matrix may look like Table III.

**Table III**

1	0,97	0,95	0,88	0,81	0,71	0,61	0,50
0,96	0,93	0,90	0,84	0,77	0,67	0,58	0,47

15 Let us then make an alternative assumption according to which the block to be filtered comprises only low horizontal activity: within the group of horizontal spatial frequencies the largest coefficient is at a horizontal location 1. This is a relatively small value of P, so squeezing is caused. The resulting top rows of the modified filtering matrix may look like Table IV.

**Table IV**

1	0,61	0,05	0	0	0	0	0
0,61	0,58	0,04	0	0	0	0	0

20 As an alternative to the groupwise adaptation we may present a simpler embodiment of the invention in which the whole DCT coefficient matrix is treated as a single group where the largest coefficient value is found at location  $(i4, j4)$ . The value of P is selected as the greater of the indices  $i4$  and  $j4$  when the filtering of all spatial frequencies is considered.

25 After each group of frequencies has been filtered with the transfer function the adaptation of which has been separately calculated for each group (or with the same transfer function for

all, if the separately adapted transfer functions are not used), the filtered DCT coefficient matrix is produced by inserting into an 8 x 8 matrix all the DCT coefficients obtained through elementwise multiplication between the original (eventually requantized) DCT coefficients and the corresponding elements in the filtering matrix.

5 The filtered DCT coefficient matrices are directed to the variable length re-encoder block 508 which re-encodes them preferably according to exactly the same method which is employed in the known MPEG-2 encoders. The re-encoded result comprises less bits than the stream of original VLC encoded DCT coefficient matrices fed into the variable length decoder 505, because the filtering function of block 507 has produced longer runs of zeroes  
10 in the matrices.

It should be noted that the invention does not require the requantization block 506 and the DCT filtering block 507 to be located in this order. In other words, in an alternative embodiment of the invention the output of the VLC decoder block 505 is coupled to the input of the variable length re-encoder block 508 through a DCT filtering block and a  
15 requantization block in this order.

We will now move on to describe the role of the element-wise matrix multiplier block 509 which is located between the "quantization matrices" output of the bit stream analyzer block 502 and the corresponding input of the multiplexer block 503. Previously we have stated that the value of  $\alpha$  used in the requantization block 506 to requantize the DCT  
20 coefficients must remain constant through all blocks for which the same weighting matrix has been used in the original encoding. The reason for this is that the overall tone level reducing effect of the requantization must be compensated for by multiplying the corresponding weighting matrix by the same factor which was used to divide the DCT coefficients in the requantization. Therefore the bit stream analyzer 502 takes the  
25 information related to the weighting matrices from the original bitstream the volume or rate of which should be reduced, and runs it through the element-wise matrix multiplier block 509. The latter gets from the requantization block 506 the value of  $\alpha$  which was used in the requantization, and modifies the weighting matrix information accordingly: if the weighting matrix coefficients are transmitted as such in the picture header, the element-wise matrix  
30 multiplier block 509 multiplies them with the obtained value of  $\alpha$ . If the allowed quantization matrices are linear multiples of each other and the picture header only contains a multiplier that is used to obtain the currently valid quantization matrix from a certain predefined default matrix, the element-wise matrix multiplier block 509 multiplies the multiplier with the obtained value of  $\alpha$ .

35 Next we will briefly discuss the operation of the VBV value modifier block 510. Its task is simply to ensure that the VBV values in the modified bitstream are in accordance with the

VBV specifications known from the MPEG-2 standards. The VBV value modifier block 510 gets control information both from the VLC decoder block 505 and the variable length re-encoder block 508 so that it is aware of the exact amount of reduction achieved in the volume or rate of the bitstream. It modifies the VBV values obtained from the bitstream analyzer 502 so that the reduction in the amount of bits associated with each block is correctly reflected by the modified VBV values.

We will conclude Fig. 5's operational description by briefly describing the operation of the multiplexer block 503. Its task is to reconstruct the bitstream from the components it receives from the bitstream analyzer 502, the variable length re-encoder block 508, the element-wise matrix multiplier block 509 and the VBV value modifier block 510. It receives from the bitstream analyzer 502 the necessary synchronization information with which it is able to reconstruct the bitstream so that the various delays caused by the processing operations in blocks 505 to 510 do not destroy the temporal relations of the bitstream components. Outputting, through the output line 504, the final modified bitstream the volume or rate of which has been reduced may take place in complete synchronization with the reading of the input stream through line 501 (for example, if a reduction of exactly 50% has been achieved, the output clock may be the input clock divided by two), or the input and output may be completely out of synchronization. The latter alternative is probably the most advantageous, because the achieved reduction is seldom an exact fraction of the input volume or rate.

Fig. 7 is a flow diagram that illustrates the principle of compressing an encoded digital video bitstream according to the invention. The top and bottom rows in Fig. 7 are known from prior art, and the invention relates to the middle row. A graphical image is mapped into pixels at step 701 by a digital video camera or a corresponding apparatus. An inner coding 702 is performed, which in the MPEG-2 system corresponds to the DCT encoding phase. After that an outer encoding 703 is performed; in the MPEG-2 system this corresponds to the weighting, quantization and VLC encoding of the DCT coefficient matrices. The compression in accordance with the invention consists of decoding the outer encoding at step 704, compressing the partly encoded image data at step 705 and restoring the outer coding at step 706. After that the compressed, encoded digital video bitstream may be led e.g. to a displaying apparatus where the outer encoding is decoded at step 707, the inner encoding is decoded at step 708 and the raw image data is mapped into pixels on a display screen at 709. Various storing, transmitting and receiving steps as well as encapsulations of the encoded digital video bitstream into transport containers like IP (Internet Protocol) datapackets or ATM (Asynchronous Transfer Mode) cells and decapsulations from them may take place between the steps shown in Fig. 7.

The compression of the encoded digital video bitstream may take place at an arbitrary location between the source of the bitstream and its displaying. An advantageous application of the invention is to compress the encoded digital video bitstreams that are to be transmitted as a part of a video telephone connection or an Internet connection over a 5 cellular radio network. It should be noted that the known and proposed handheld mobile stations through which a cellular video telephone call or a cellular Internet connection would be established invariably comprise a rather small-sized display which is not capable of reproducing a digital video image with the same resolution and fidelity as e.g. a large TV screen or a tabletop computer. Therefore it is in many cases very advantageous to compress 10 an encoded digital video bitstream before transmitting it over the radio interface to such a mobile station, because a remarkable reduction may be achieved in the required amount of radio resources and because the limited displaying capabilities of the mobile station would make it difficult anyway to utilize all the detailed information contained in the original encoded digital video bitstream. The mobile station and the network may even negotiate 15 about the capabilities of the mobile station and the availability of radio resources at the setup phase of a video telephone connection or a cellular Internet connection so that the network will compress the original encoded digital video bitstream to a volume or rate that is both compatible with the mobile station's capability and transmittable over the radio interface.

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## Claims

1. A method for reducing the volume or rate of an encoded digital video bitstream that fulfils a certain set of predefined structural rules, **characterized** in that it comprises the steps of

5 - partly decoding (704) the encoded digital video bitstream, thus producing a partly decoded digital video bitstream,

- reducing (705) the amount of bits in the partly decoded digital video bitstream and

- re-encoding (706) the partly decoded digital video bitstream in which the amount of bits is reduced, thus producing a re-encoded digital video bitstream, the volume or rate of which is

10 smaller than that of the encoded digital video bitstream, that fulfils the certain set of predefined structural rules.

2. A method according to claim 1, **characterized** in that the step of partly decoding the encoded digital video bitstream comprises the sub-steps of

15 - separating (502) a number of variable length encoded, weighted and quantized DCT coefficient matrices from an MPEG-2-encoded digital video bitstream and

- decoding (505) the variable length coding of said variable length encoded, weighted and quantized DCT coefficient matrices, thus producing a number of weighted and quantized DCT coefficient matrices.

3. A method according to claim 2, **characterized** in that the step of reducing the amount of bits in the partly decoded digital video bitstream comprises the sub-step of reducing (506, 507) the number of bits used to represent said weighted and quantized DCT coefficient matrices.

4. A method according to claim 3, **characterized** in that the sub-step of reducing the number of bits used to represent said weighted and quantized DCT coefficient matrices further comprises the sub-step of low-pass filtering (507) a weighted and quantized DCT coefficient matrix with a filter having a certain transfer function.

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5. A method according to claim 4, **characterized** in that the sub-step of low-pass filtering said weighted and quantized DCT coefficient matrices further comprises the sub-step of adapting said transfer function according to the contents of a DCT coefficient matrix.

30

6. A method according to claim 3, **characterized** in that the sub-step of reducing the number of bits used to represent said weighted and quantized DCT coefficient matrices further comprises the sub-steps of

- defining a number of coefficient groups within a DCT coefficient matrix and

- low-pass filtering each of said coefficient groups with a filter having a certain transfer function associated with the coefficient group in question.

7. A method according to claim 6, **characterized** in that the sub-step of low-pass filtering each of said coefficient groups further comprises the sub-step of adapting said transfer function according to the contents of the coefficient group in question.

5 8. A method according to claim 7, **characterized** in that the sub-step of adapting said transfer function according to the contents of the coefficient group in question further comprises the sub-steps of

- finding the coefficient that represents the highest signal energy within the coefficient group,

10 - defining a certain first variable value by referring to the location of said coefficient that represents the highest signal energy within the coefficient group and

- scaling said transfer function with said first variable value, thus producing a modified transfer function which has a pass band the width of which is the greater the further said coefficient that represents the highest signal energy is in the DCT coefficient matrix from the DC coefficient of that DCT coefficient matrix.

15 9. A method according to claim 3, **characterized** in that the sub-step of reducing the number of bits used to represent said weighted and quantized DCT coefficient matrices further comprises the sub-step of requantizing (506) a weighted and quantized DCT coefficient matrix by dividing all coefficients contained therein by a certain second variable value.

20 10. A method according to claim 9, **characterized** in that it further comprises the steps of - separating (502) from said MPEG-2-encoded digital video bitstream a piece of information describing a weighting matrix which has been used to weight a number of 25 variable length encoded, weighted and quantized DCT coefficient matrices and - modifying (509) said piece of information describing a weighting matrix, in order to compensate the division of coefficients by a certain second variable value, thus causing a multiplication of said weighting matrix by said second variable value.

30 11. A method according to claim 3, **characterized** in that the step of re-encoding the partly decoded digital video bitstream comprises the sub-step of variable length coding (508) the DCT coefficient matrices after reducing the number of bits used to represent said DCT coefficient matrices.

35 12. A method according to claim 2, **characterized** in that in order to complement the step of reducing the amount of bits in the partly decoded digital video bitstream it comprises the sub-steps of

- separating (502) a number of virtual buffer verifier values from said MPEG-2-encoded digital video bitstream and

- modifying (510) said virtual buffer verifier values, thus producing modified virtual buffer verifier values that are in accordance with the re-encoded digital video bitstream the volume or rate of which is smaller than that of the encoded digital video bitstream.

5 13. An arrangement for reducing the volume or rate of an encoded digital video bitstream that fulfils a certain set of predefined structural rules, **characterized** in that it comprises

- means for partly decoding (502, 505) the encoded digital video bitstream,

- means for reducing (506, 507) the amount of bits in the partly decoded digital video

10 bitstream and

- means for re-encoding (508) the partly decoded digital video bitstream in which the amount of bits is reduced.

14. An arrangement according to claim 13, **characterized** in that it comprises

- a bitstream analyzer (502) arranged to separate a number of variable length encoded, weighted and quantized DCT coefficient matrices from an MPEG-2-encoded digital video bitstream,

- a variable length decoder (505) for decoding the variable length coding of said variable length encoded, weighted and quantized DCT coefficient matrices and

- means for reducing (506, 507) the number of bits used to represent said weighted and

20 quantized DCT coefficient matrices.

15. An arrangement according to claim 14, **characterized** in that said means for reducing the number of bits used to represent said weighted and quantized DCT coefficient matrices comprise a filtering block (507) for filtering the coefficients contained in DCT coefficient matrices.

25 16. An arrangement according to claim 15, **characterized** in that said filtering block (507) is a low pass filter with a certain transfer function.

17. An arrangement according to claim 16, **characterized** in that said low pass filter (507) has a transfer function which is dependent on the contents of the DCT coefficient matrix which is filtered.

30 18. An arrangement according to claim 15, **characterized** in that said filtering block (507) is arranged to implement a multitude of different filtering functions upon different coefficient groups within a single DCT coefficient matrix.

19. An arrangement according to claim 18, **characterized** in that said filtering block (507) is arranged to implement a multitude of different filtering functions upon different

coefficient groups within a single DCT coefficient matrix, wherein each filtering function is dependent on the contents of the coefficient group which is filtered.

20. An arrangement according to claim 14, **characterized** in that said means for reducing the number of bits used to represent said weighted and quantized DCT coefficient matrices

5 comprise a requantization block (506) arranged to divide a DCT coefficient matrix by a certain second variable value.

21. An arrangement according to claim 14, **characterized** in that it comprises

- an input (501) and an output (504),

- a bitstream analyzer (502) coupled to said input (501), said bitstream analyzer having first, 10 second, third and fourth data outputs and a control output,

- a multiplexer (503) coupled to said output (504), said multiplexer having first, second, third and fourth data inputs and a control input,

- an essentially direct connection from the control output of said bitstream analyzer (502) to the control input of said multiplexer (503),

15 - an essentially direct connection from the first data output of said bitstream analyzer (502) to the first data input of said multiplexer (503),

- between the second data output of said bitstream analyzer (502) and the second data input of said multiplexer (503) a series connection where a variable length decoder (505) is coupled to the second data output of said bitstream analyzer (502), a variable length re- 20 encoder (508) is coupled to the second data input of said multiplexer (503), and between said variable length decoder (505) and said variable length re-encoder (508) there are a requantizing block (506) and a DCT filtering block (507) in any order, of which said variable length decoder (505), said variable length re-encoder (508) and said requantizing block (506) each comprise a control output,

25 - between the third data output of said bitstream analyzer (502) and the third data input of said multiplexer (503) an element-wise matrix multiplier block (509) having a control input which is coupled to the control output of said requantizing block (506) and

- between the fourth data output of said bitstream analyzer (502) and the fourth data input of said multiplexer (503) a virtual buffer verifier value modifier block (510) having first and

30 second control inputs of which the first control input is coupled to the control output of said variable length decoder (505) and the second control input is coupled to the control output of said variable length re-encoder (508).

## Abstract

A method and arrangement are presented for reducing the volume or rate of an encoded digital video bitstream that fulfils a certain set of predefined structural rules. The encoded digital video bitstream is partly decoded (704), thus producing a partly decoded digital video bitstream. The amount of bits in the partly decoded digital video bitstream is reduced (705) and the partly decoded digital video bitstream in which the amount of bits is reduced is re-encoded (706). Thus, a re-encoded digital video bitstream is produced, the volume or rate of which is smaller than that of the encoded digital video bitstream, that fulfils the certain set of predefined structural rules.

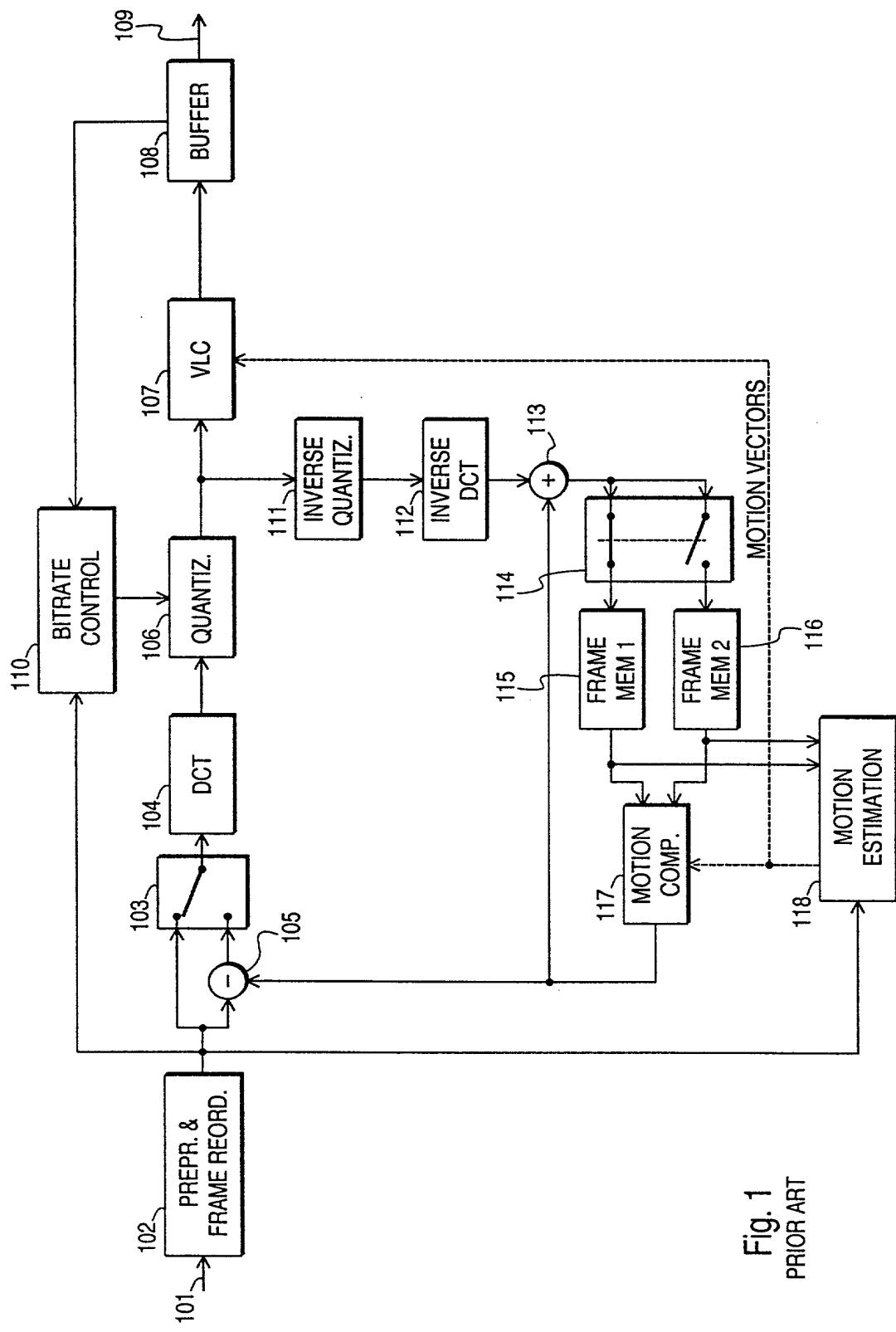


Fig. 1  
PRIOR ART

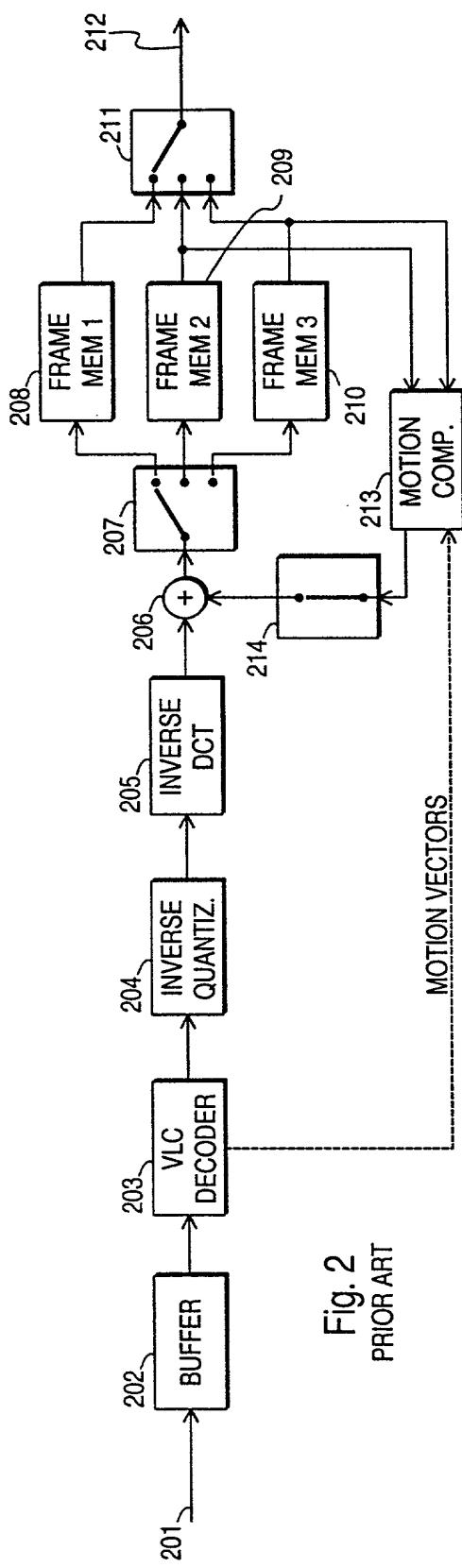
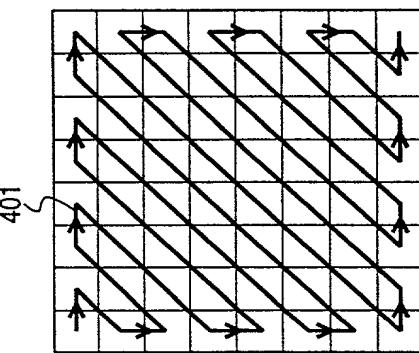


Fig. 4  
PRIOR ART



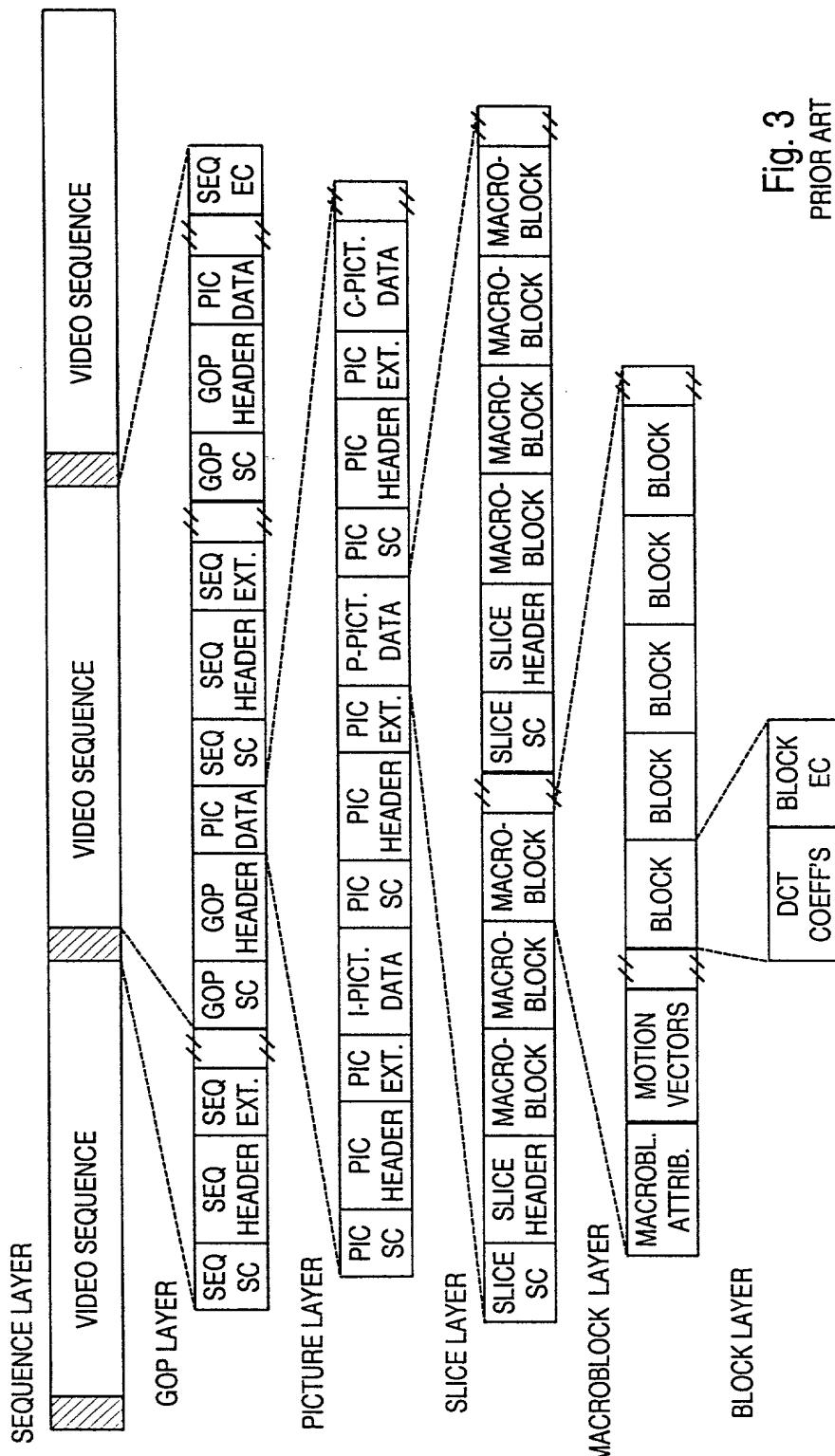


Fig. 3  
PRIOR ART

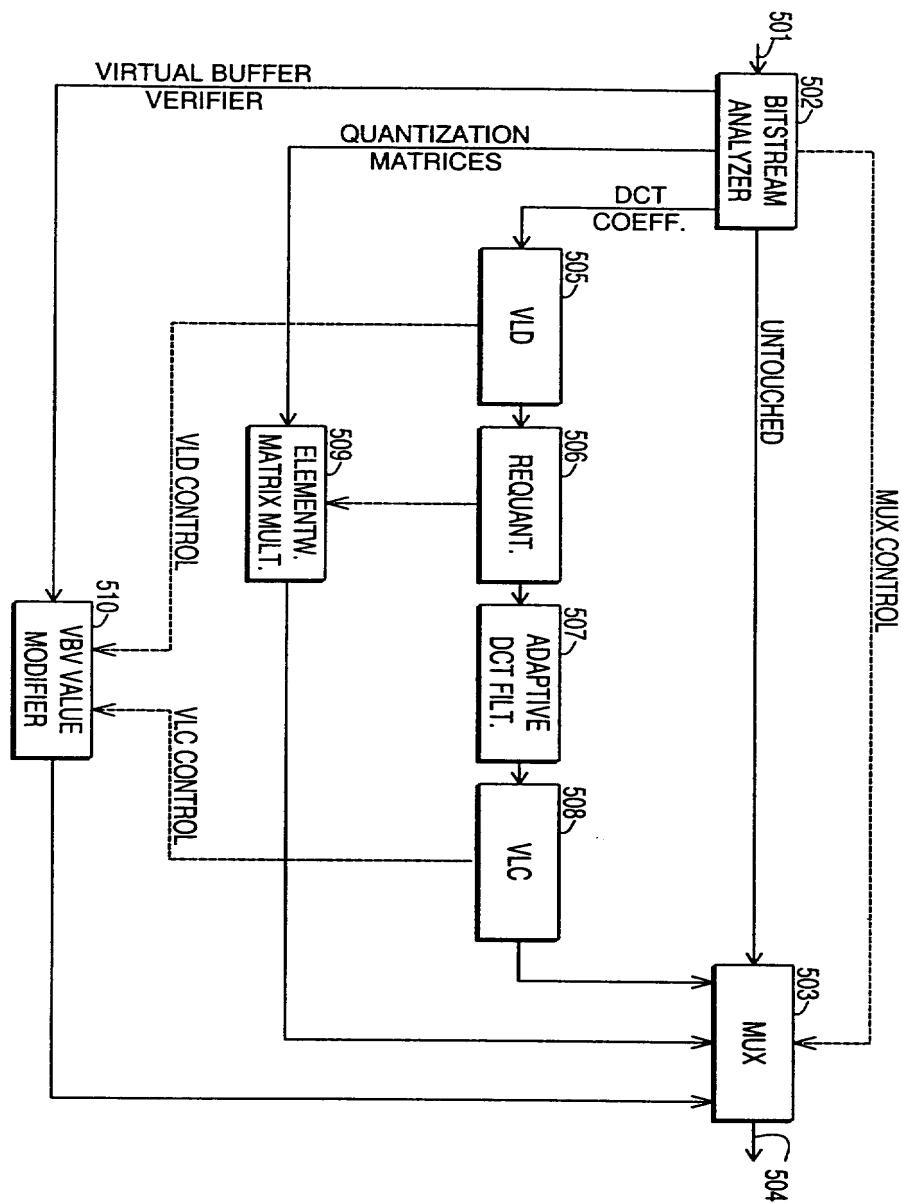


Fig. 5

Fig. 6b

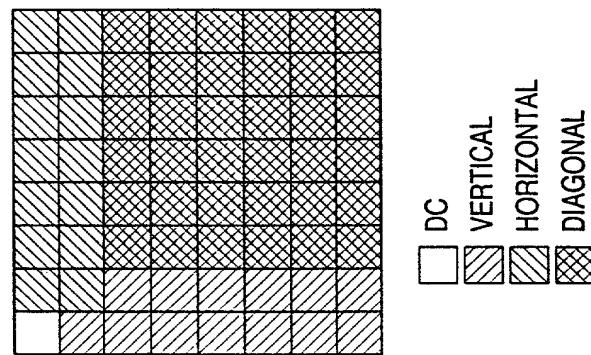
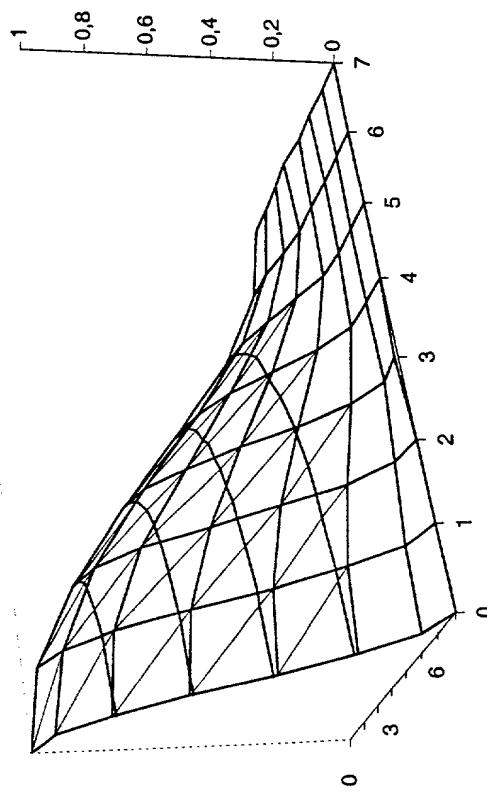


Fig. 6a



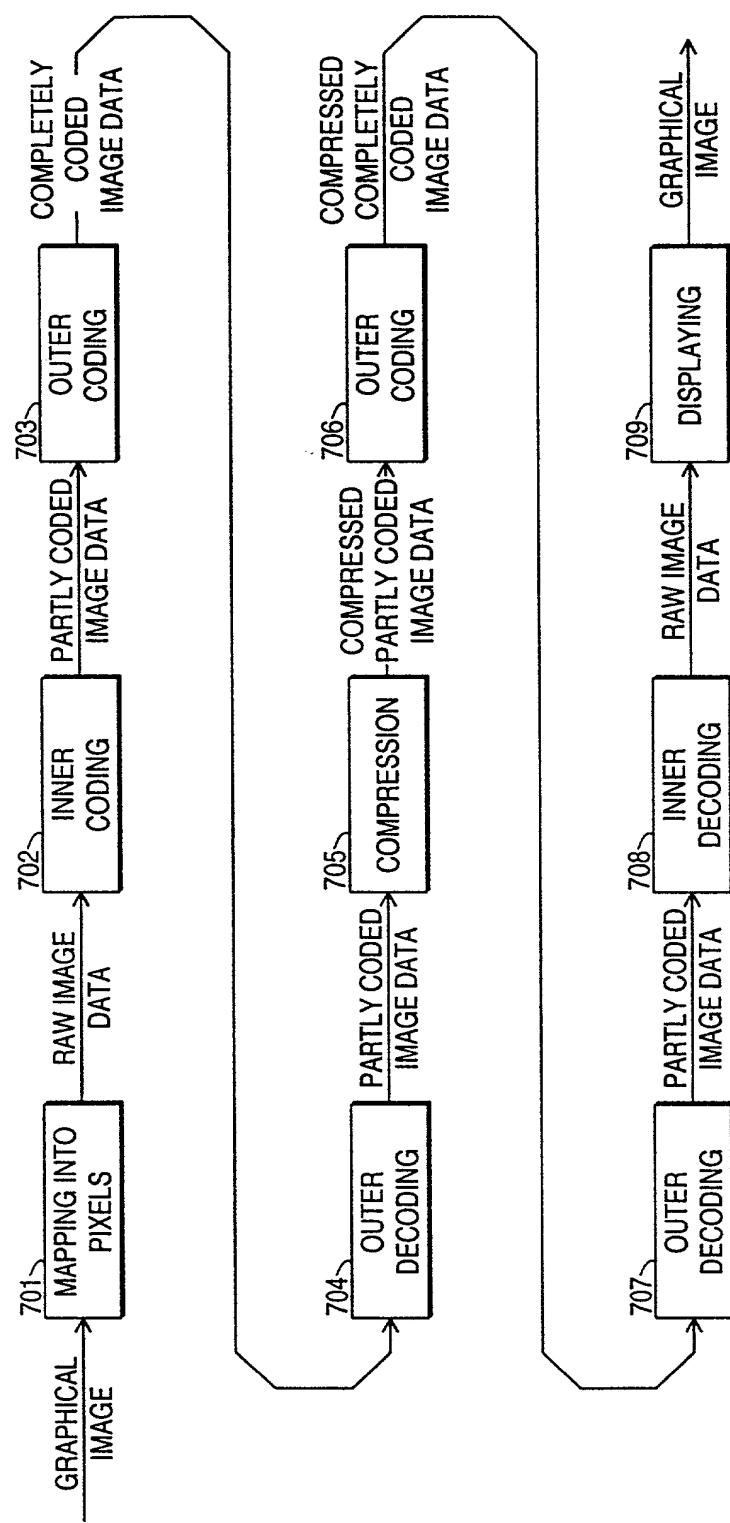


Fig. 7